



05-08-06

*[Handwritten signature]*

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Re: Applicant: Tull, Jr. et al.

Serial No.: 10/673,125

Issue Date: September 26, 2003

Title: DATA PROCESSING SYSTEM AND METHOD FOR ADMINISTERING FINANCIAL INSTRUMENTS

Commissioner for Patents  
P.O. Box: 1450  
Alexandria, VA 22313-1450

EXPRESS MAIL CERTIFICATE

"Express Mail" label number EQ603935658US

Date of Deposit May 5, 2006

I hereby certify that the following attached paper or fee

STATEMENT UNDER 3.73(b) and POWER OF ATTORNEY  
and CORRESPONDENCE ADDRESS INDICATION FORM

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: **Commissioner for Patents, P.O. Box: 1450, Alexandria, VA 22313-1450**

Beth H. Retort  
*[Signature]*  
(Signature of person mailing paper or fee)

NOTE: Each paper must have its own certificate and the "Express Mail" label number as a part thereof or attached thereto. When, as here, the certification is presented on a separate sheet, that sheet must (1) be signed and (2) fully identify and be securely attached to the paper or fee it accompanies. Identification should include the serial number and filing date of the application as well as the type of paper being filed, e.g. complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. If the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

NOTE: The label number need not be placed in each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing or the drawings be accompanied by a set of informal drawings on which the label number is placed.

(Express Mail Certificate [8-3])



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Robert S. Tull, Jr., et al.Application No./Patent No.: 10/673,125 Filed/Issue Date: September 26, 2003Entitled: DATA PROCESSING SYSTEM AND METHOD FOR ADMINISTERING FINANCIAL INSTRUMENTSMorgan Stanley, a Delaware corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or2. ☐ an assignee of less than the entire right, title and interest.The extent (by percentage) of its ownership interest is \_\_\_\_\_ %  
in the patent application/patent identified above by virtue of either:A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at \_\_\_\_\_, \_\_\_\_\_, or for which a copy thereof is attached.

OR

B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:1. From: Inventors To: Morgan Stanley Group Inc.The document was recorded in the United States Patent and Trademark Office at  
Reel 7407, Frame 0159, or for which a copy thereof is attached.2. From: Morgan Stanley Group Inc. To: Morgan Stanley, Dean Witter, Discover & Co.The document was recorded in the United States Patent and Trademark Office at  
Reel 015698, Frame 0306, or for which a copy thereof is attached.3. From: Morgan Stanley, Dean Witter, Discover & Co. To: Morgan Stanley Dean Witter & Co.The document was recorded in the United States Patent and Trademark Office at  
Reel 015698, Frame 0295, or for which a copy thereof is attached.☒ Additional documents in the chain of title are listed on a supplemental sheet.☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

4/6/06

Date

212-537-2445

Telephone number

William J. O'Shaughnessy, Jr.

Typed or printed name

William J. O'Shaughnessy, Jr.

Signature

Assistant Secretary

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2. PTO/SB/81 (06-04)



**STATEMENT UNDER 37 CFR 3.73(b) – Supplemental Sheet**

4. From: Morgan Stanley NC Inc. with and into Morgan Stanley Dean Witter & Co.  
To: Morgan Stanley  
The document was recorded in the United States Patent and Trademark Office at  
Reel 015698, Frame 0300, or for which a copy thereof is attached.
5. From: Morgan Stanley NC Inc. (merged with and into) Morgan Stanley Dean Witter & Co. (changed name to)  
To: Morgan Stanley  
The document was recorded in the United States Patent and Trademark Office at  
Reel 016397, Frame 0604, or for which a copy thereof is attached.



**POWER OF ATTORNEY  
and  
CORRESPONDENCE ADDRESS  
INDICATION FORM**

Application Number	10/673,125
Filing Date	September 26, 2003
First Named Inventor	Robert S. Tull, Jr.
Title	DATA PROCESSING SYSTEM.....
Art Unit	3624
Examiner Name	N. Subramanian
Attorney Docket Number	040173CONCONCONCON

I hereby appoint:

26285

☒ Practitioners associated with the Customer  
Number:

OR

☐ Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:

☒ The address associated with the above-mentioned Customer Number:

OR

☐ The address associated with Customer Number:

OR

<input type="checkbox"/> Firm or Individual Name				
Address				
Address				
City	State	Zip		
Country				
Telephone	Fax			

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

**SIGNATURE of Applicant or Assignee of Record**

Signature	<i>William S. O'Shaughnessy, Jr.</i>	Date	4/6/06
Name	William S. O'Shaughnessy, Jr.	Telephone	212-537-2445
Title and Company	Assistant Secretary, Morgan Stanley		

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☒ \*Total of 2\_ forms are submitted.

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.